



 **U.S. Department of Transportation**

Human Resources Strategic Action Plan



2001 - 2003

U.S. Department of Transportation
Human Resources Strategic Action Plan 2001 – 2003



A Message to the DOT Community

Human Resources (HR) is about people. People are the Department of Transportation's (DOT) most valuable asset. Recognizing the importance of people and making the appropriate investments to enhance their value is critical to achieving the Department's mission and accomplishing our strategic goals.

The Human Resources Strategic Action Plan is designed to provide managers and employees with the tools, information, and support needed to meet the organizational performance goals of the Department: *safety, mobility, economic growth, human and natural environment, national security, and organizational excellence.*

This Plan was developed by the Department's Human Resources Council, which is comprised of the Human Resources Directors of each Operating Administration (OA). It reflects our collective thinking about what the Department needs to be doing in the near future to prepare for the distant future. This HR Plan is an outgrowth of the DOT Strategic Plan and charts the direction for human resource management within the Department for the next 3 years. In it you will find the overarching vision and mission of the HR Council and the responsibilities we embrace. In developing the plan, the HR Council looked at the current state of human resources in the Department. The Council also considered social, economic, and demographic trends that could impact the future. Six Goals were defined—*Investments in Human Capital, Workforce Planning, Effective Hiring, Learning and Development, State-of-the-Art Human Resource Information System (HRIS), and Strategic Alliances.* The plan was further defined through input from our stakeholders, e.g., the civil rights, budget, human resource communities, as well as supervisors, managers, and employees. As this is an HR Plan for the Department, it reflects our collective investment in human capital through the goals, strategies, and tactics you shared in developing.

The HR Council will work together as a team to accomplish the goals and strategies outlined in the plan. Each of the goals will have performance measures so that, together, we can track our progress. Many of the tactics will be implemented through the use of intermodal work groups. The Council is committed to ensure that these work groups are diverse and inclusive of program managers, union representatives and our workforce.

This overarching Plan will serve as a guide to local modal plans of action. Through implementation of the HR Strategic Action Plan and the modal plans, the HR community will work with program managers and our DOT workforce to advance our mission. The Human Resources Strategic Action Plan will provide managers the tools to recruit, develop, and retain a diverse workforce possessing the competencies and skills for DOT to realize its vision of "leading transportation excellence in the 21st century."

Mari Barr Santangelo
Director, Departmental Office of Human
Resource Management

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Content

Human Resources Council Vision/Mission Statements	1
Strategic Action Plan Summary	2
GOAL 1: Investments in Human Capital	3
GOAL 2: Workforce Planning	6
GOAL 3: Effective Hiring	8
GOAL 4: Learning and Development	10
GOAL 5: State-of-the-Art Human Resource Information System	12
GOAL 6: Strategic Alliances	13
HR Council Contact List	15



**U.S. Department of Transportation
Human Resources Strategic Action Plan 2001 – 2003**



Acronyms

BPR	Business Process Reengineering
CFO	Chief Financial Officer
CIO	Chief Information Officer
DOCR	Departmental Office of Civil Rights
DOT	Department of Transportation
FAA	Federal Aviation Administration
HR	Human Resources
HRIS	Human Resource Information System
HRMC	Human Resources Management Council
M-1	Assistant Secretary for Administration
M-10	Departmental Office of Human Resource Management
OA	Operating Administrations
OMB	Office of Management and Budget
OPM	Office of Personnel Management
OST	Office of the Secretary
SF	Standard Form

U.S. Department of Transportation Human Resources (HR) Council

Vision

*Strategic partner in achieving
workforce excellence that leads the
Department in the 21st century*

Mission

- *Guide the Department in its human capital business decisions*
- *Identify and promote best HR practices*
- *Be the focal point for aligning organizational and employee needs*
- *Collaborate and share resources across and outside the Department*

U.S. Department of Transportation
Human Resources Strategic Action Plan 2001 – 2003



Action Plan Summary

GOAL	TITLE
ONE	Investments In Human Capital Planning: <i>Actively promote investment in DOT's most important resource – its human capital – to enable the Department to recruit and retain the talented and diverse workforce essential to achieving the DOT mission and strategic objectives.</i>
TWO	Workforce Planning: <i>Conduct workforce planning to ensure competencies and skills are in place to meet organizational goals and future workforce needs.</i>
THREE	Effective Hiring: <i>Develop and implement hiring strategies, techniques, and tools to ensure DOT has the right people in the right positions at the right time.</i>
FOUR	Learning And Development: <i>Enhance continuous learning of the DOT workforce.</i>
FIVE	State-of-the-Art Human Resource Information System (HRIS): <i>Promote a replacement HRIS founded on best practices that will allow all OAs to retire the legacy systems.</i>
SIX	Strategic Alliances: <i>Form strategic alliances with important stakeholders to promote and obtain support for initiatives to achieve workforce excellence. (For example: OCR, CIO, CFO, OPM, OMB and others.)</i>

ACTION PLAN

GOAL 1: INVESTMENTS IN HUMAN CAPITAL

Actively promote investment in DOT's most important resource -- its human capital -- to enable the Department to recruit and retain the talented and diverse workforce essential to achieving the DOT mission and strategic objectives.

Strategy 1: *Recruit and retain a workforce that reflects and values America's diverse society.*

- Tactic 1*** Convene an intermodal workgroup consisting of managers and employees including civil rights representatives to assess and improve the effectiveness of the Department's diversity management program.
- Tactic 2*** Work with the Departmental Office of Civil Rights, Office of the General Counsel, and the Disability Resource Center to develop the outline for a model curriculum to train managers, prospective managers and supervisors, and other individuals involved in recruiting, hiring, career development, promotion, and retention of a diverse workforce.
- Tactic 3*** Administer training to personnel with management, recruiting and/or hiring responsibility based on the model curriculum.
- Tactic 4*** Monitor the hiring process of underrepresented groups, women, and persons with disabilities, and the use of special hiring authorities to increase their representation in the Department.

Strategy 2: *Promote effective communication to inform stakeholders and improve the work environment.*

- Tactic 1*** Provide accessible, timely, and accurate information on human resource programs and services to employees, managers, and other stakeholders.
- Tactic 2*** Share HR best practices and lessons learned throughout the Department.
- Tactic 3*** Develop dispute resolution procedures that promote better communication between parties and produce more timely and effective closure of administrative disputes.

**U.S. Department of Transportation
Human Resources Strategic Action Plan 2001 – 2003**

Strategy 3: *Provide strategic leadership in labor relations that enhances relationships and balances traditional and nontraditional approaches to meet the needs of stakeholders.*

- Tactic 1* Develop mechanism(s) to promote collaborative labor relations and employee involvement.
- Tactic 2* Revise the labor relations strategic plan to reflect climate assessment results and other issues of mutual concern.
- Tactic 3* Foster programmatic and professional effectiveness through regular meetings/communications.

Strategy 4: *Promote and enhance worklife programs that increase DOT's ability to attract and retain a world class workforce.*

- Tactic 1* Conduct regular intermodal meetings on key worklife program components such as alternative work schedules, telecommuting and child/eldercare to share ideas for program improvements and marketing strategies.
- Tactic 2* Leverage use of Internet and Intranet capabilities to provide a one-stop location for DOT-wide worklife information, with links to related internal and external resources.
- Tactic 3* Develop a DOT-wide recruiting orientation pamphlet to showcase Operating Administrations' (OA) worklife flexibilities.
- Tactic 4* Champion the expansion of telecommuting within the OAs to achieve participation goals.
- Tactic 5* Identify and evaluate new and/or innovative worklife programs.

Strategy 5: *Measure Departmental employee feedback to understand and respond to workforce needs.*

- Tactic 1* Establish an intermodal working group to develop an Employee Satisfaction Index.
- Tactic 2* Identify DOT-wide challenge areas that offer intervention opportunities.
- Tactic 3* Form focus groups to develop an action plan in each challenge area.
- Tactic 4* Share best practices, lessons learned, and opportunities for improvement throughout DOT.

U.S. Department of Transportation
Human Resources Strategic Action Plan 2001 – 2003

Strategy 6: *Measure the effectiveness of the Department's Performance Management Framework and awards program to ensure continuing and meaningful linkage of performance to Departmental goals.*

Tactic 1 Convene an intermodal workgroup consisting of managers and employees to review results of the performance management program evaluation and organizational assessments.

Tactic 2 Develop goal-based measurement tools that evaluate the effectiveness of individual development plans and the Departmental Awards and Recognition Programs in improving organizational performance.

Tactic 3 Share best practices, lessons learned, and opportunities for improvements throughout DOT.

*Investment in
DOT's most
important
resources – its
human capital*



GOAL 2: WORKFORCE PLANNING

Conduct workforce planning to ensure competencies and skills are in place to meet organizational goals and future workforce needs.

Strategy 1: *Evaluate the Department's workforce planning process.*

Tactic 1 Identify OA critical success factors and lessons learned.

Tactic 2 Identify recommendations for improving process based on OA evaluations.

Tactic 3 Share results and best practices through the Departmental HR website.

Tactic 4 Partner with the Automation Council to increase the use of automation in the workforce planning process.

Strategy 2: *Integrate modal workforce planning efforts to determine common Departmental workforce issues.*

Tactic 1 Develop OA reports on workforce planning efforts, either by occupation or organization.

Tactic 2 Establish working group to analyze reports and provide a Departmental workforce planning report.

Strategy 3: *Develop succession planning strategies for identifying and developing well-qualified supervisors and managers.*

Tactic 1 Develop selection strategies for supervisory and managerial positions that stress leadership competencies.

Tactic 2 Identify additional leadership development solutions for succession planning.

Tactic 3 Explore opportunities for identifying and developing parallel career tracks for management and technical positions.

U.S. Department of Transportation
Human Resources Strategic Action Plan 2001 – 2003

Strategy 4: *Ensure the DOT Human Resources workforce has the competencies and skills necessary to meet future organizational needs.*

Tactic 1 Assess DOT HR workforce needs gaps.

Tactic 2 Provide adequate resources to HR staff for training and career development.

Tactic 3 Explore opportunities for joint training and cross-servicing.

Tactic 4 Participate in the Human Resources Management Council (HRMC) initiative to establish Governmentwide HR competencies and explore professional certification.

*Ensure
competencies and
skills are in place
to meet future
workforce needs.*



GOAL 3: EFFECTIVE HIRING

Develop and implement hiring strategies, techniques, and tools to ensure DOT has the right people in the right positions at the right time.

Strategy 1: *Explore automation alternatives.*

- Tactic 1*** Establish an intermodal work group to survey and analyze alternative automated staffing systems.
- Tactic 2*** Recommend options and possible next steps to the HR Council.
- Tactic 3*** Leverage use of Internet and Intranet capabilities to provide state-of-the-art recruitment techniques.

Strategy 2: *Develop recruitment strategies.*

- Tactic 1*** Develop a model recruiter training curriculum for use by all OAs, including strategies for identifying barriers to, and targeting opportunities for, increased employment of underrepresented groups.
- Tactic 2*** Provide joint delivery of recruiter training between/among OAs where appropriate.
- Tactic 3*** Coordinate job fair attendance between/among OAs, and explore opportunities for cross-recruiting.
- Tactic 4*** Explore possibility of DOT Intern Program for common occupations.

Strategy 3: *Advocate streamlining of the hiring process at OPM.*

- Tactic 1*** Participate actively in the HRMC and its counterpart subgroups.
- Tactic 2*** Identify targets of opportunity for changes to law, regulation, or administrative requirements, and bring them to the attention of OPM.

U.S. Department of Transportation
Human Resources Strategic Action Plan 2001 – 2003

Strategy 4: *Maximize existing and explore additional compensation flexibilities.*

Tactic 1 Identify internal barriers to using existing flexibilities.

Tactic 2 Share information about common barriers to identify possible corporate issues/problems.

Tactic 3 Develop actions to overcome barriers, including proposals for additional flexibilities.



*Ensure DOT has the right people in the right
positions at the right time.*

GOAL 4: LEARNING AND DEVELOPMENT

Enhance continuous learning of the DOT workforce.

Strategy 1: *Assess and identify organizational/occupational competencies.*

- Tactic 1*** Identify best practices and lessons learned from internal and external partners that have assessed and identified organizational/occupational competencies.
- Tactic 2*** Establish a clearinghouse of organizational/occupational competency assessment methods and models.
- Tactic 3*** Implement organizational/occupational competency assessments.

Strategy 2: *Assess organizational/occupational competency gaps.*

- Tactic 1*** Identify best practices and lessons learned from internal and external partners that have assessed organizational/occupational competency gaps.
- Tactic 2*** Establish a clearinghouse of methods and models for assessing organizational/occupational competency gaps.
- Tactic 3*** Implement organizational/occupational competency assessments.

Strategy 3: *Conduct and assess individual needs to address competency gaps.*

- Tactic 1*** Identify best practices and lessons learned from internal and external partners that have assessed individual needs to address competency gaps.
- Tactic 2*** Establish a clearinghouse of methods and models used to assess individual needs that address competency gaps.
- Tactic 3*** Implement individual competency assessments.

Strategy 4: *Bridge competency gaps through effective use of learning solutions.*

- Tactic 1*** Identify best practices and lessons learned from internal and external partners that have implemented and applied learning solutions to bridge competency gaps.
- Tactic 2*** Establish a clearinghouse of methods and strategies used to apply learning solutions to bridge competency gaps.
- Tactic 3*** Implement appropriate learning solutions to bridge competency gaps.
- Tactic 4*** Advocate setting and maintaining budgets at the OA level for learning and development as a percentage of total payroll that ensures appropriate investment in learning. Minimum levels should be at least 2 percent of payroll.

Strategy 5: *Evaluate impact of learning on individual and organizational performance.*

- Tactic 1*** Evaluate learning activities using appropriate evaluation methods as highlighted in the Learning and Development Framework.
- Tactic 2*** Identify criteria for tracking impact of learning activities.
- Tactic 3*** Track impact of learning activities.

*Enhance
continuous
learning of
workforce.*



***GOAL 5: STATE-OF-THE-ART HUMAN RESOURCE
INFORMATION SYSTEM (HRIS)***

Promote a replacement HRIS founded on best practices that will allow all OAs to retire the legacy systems.

Strategy 1: *Gain consensus with stakeholders. Stakeholders include OAs (HR, Budget, CIO Offices, Administrators and Deputy Administrators) and OST (M-1, CFO, DOCR, CIO).*

Tactic 1 Develop, in consultation with the HR Council, requirements and planning documents, cost estimates, and a formal briefing that describes the proposed replacement concept.

Tactic 2 Brief this concept to the stakeholders and obtain their commitment.

Strategy 2: *Acquire necessary funding.*

Tactic 1 Develop the appropriate budget documents and justification for first year funding of approximately \$2.9 million. (This initiative will require multiyear funding.)

Tactic 2 Breakout funding proportionally by OA based on serviced population. (The FAA will not be included in funding estimates because they are pursuing a separate HRIS replacement initiative.)

Tactic 3 Request funding for FY 2003 through FY 2005 to complete the implementation.

Strategy 3: *Develop a deployment strategy.*

Tactic 1 Consider and select a deployment strategy. *Options include:*
(1) Implement pilot of the new HRIS for one or more OAs;
(2) Implement selected modules, e.g., SF 50/52 or training process across all OAs; and/or
(3) Implement the new HRIS across all OAs simultaneously with legacy system running in parallel.

Tactic 2 Consider, in consultation with the HR Council, business process reengineering (BPR) and change management concepts in order to achieve human resources best business practices.

GOAL 6: STRATEGIC ALLIANCES

Form strategic alliances with important stakeholders to promote and obtain support for initiatives to achieve workforce excellence. (For example: DOCR, CIO, CFO, OPM, OMB and others.)

Strategy 1: *Collaborate effectively with internal stakeholders.*

Tactic 1 Identify stakeholder groups.

Tactic 2 Identify regularly scheduled meetings or other mechanisms to engage the stakeholder groups. (This can be accomplished in conjunction with the tactics in Strategy 2.)

Tactic 3 Identify who will serve as the HR Council representative with each group. (Note: In some cases, may be an OA HR Council member or member of M-10 staff.)

Tactic 4 Invite members of internal, external groups to HR Council meetings as ad hoc members to partner on issues of mutual interest.

Strategy 2: *Identify areas of common interest for purpose of creating support for and collaboration on human resource initiatives.*

Tactic 1 Share HR Council Strategic Action Plan with stakeholders to solicit input on meeting common goals and objectives.

Tactic 2 Discuss areas of common interest.

Tactic 3 Use DOT counterpart groups to share areas of common interest.

Strategy 3: *Enhance HR Council voice with external stakeholders. (For example: OMB, OPM, and others.)*

Tactic 1 Identify other agencies with similar interests/problems.

Tactic 2 Identify agencies best practices for advocacy with OMB, OPM administrative and/or legislative avenues for change.

**U.S. Department of Transportation
Human Resources Strategic Action Plan 2001 – 2003**

Tactic 3 Build strong partnerships with other agencies to advocate change.

Tactic 4 Build strong partnerships with OPM to support DOT goals and initiatives such as:

- HRMC participation
- Active network participation
- Serving on OPM workgroups, focus groups, and others
- Communication on behalf of the HR Council with OPM

Tactic 5 Continue to collaborate with the OST Budget Office on HR issues raised with OMB.

Strategy 4: *Collaborate on annual performance plans, new initiatives, and annual budget cycles.*

Tactic 1 Analyze OA's strategic and performance goals to determine where HR interventions could enhance goal achievement.

Tactic 2 Integrate HR interventions into the budget process and agency performance plans to ensure cohesive, comprehensive achievement of strategic goals.

Tactic 3: Evaluate the impact of HR interventions on achieving strategic goals.



*Form strategic
internal and
external alliances
to achieve
workforce
excellence.*

**U.S. Department of Transportation
Human Resources Strategic Action Plan 2001 – 2003**



Human Resources Council Contact List

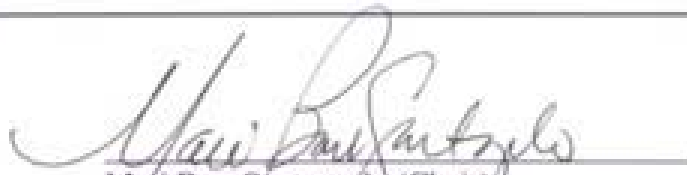
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U.S. Department of Transportation
Human Resources Strategic Action Plan 2001 – 2003

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